



ATTORNEY DOCKET NO: C01104/70015

#12
Prior

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, et al.
Serial No: 09/805,368
Confirmation No: 1552
Filed: March 13, 2001
For: LIGHT-EMITTING DIODE BASED PRODUCTS

Examiner: Vu, David Hung
Art Unit: 2821

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 27th day of February, 2003.

Janine Michalski
Janine Michalski

Commissioner for Patents
Washington, D.C. 20231

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STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case. No fee or certification is required.

PART II: Information Cited

The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

PART III: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicants makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

Kevin J. Dowling, et al., Applicants

By: 

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600 Atlantic Avenue
Boston, Massachusetts 02210-2211
Telephone: (617) 720-3500

Docket No. C01104/70015
Date: February 27, 2003

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

FILING DATE: March 13, 2001

APPLICANT: Kevin J. Dowling, et al.

GROUP ART UNIT: 2821

EXAMINER: Vu, David Hung

Sheet

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of

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U.S. PATENT DOCUMENTS

Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		* US 2002/0047624	A1	Stam, et al.	04/25/2002
		* 4,070,568		Gala	01/24/1978
		* 4,271,408		Teshima, et al.	06/02/1981
		* 4,597,033		Meggs, et al.	06/24/1986
		* 4,794,383		Havel	12/27/1988
		* 4,857,801		Farreii	08/15/1989
		* 5,008,788		Palinkas	04/16/1991
		* 5,036,248		McEwan, et al.	07/30/1991
		* 5,038,255		Nishihashi, et al.	08/06/1991
		* 5,122,733		Havel	06/16/1992
		* 5,130,909		Gross	07/14/1992
		* 5,278,542		Smith, et al.	01/11/1994
		* 5,283,517		Havel	02/01/1994
		* 5,298,871		Shimohara	03/29/1994
		* 5,375,043		Tokunaga	12/20/1994
		* 5,381,074		Rudzewicz, et al.	01/10/1995
		* 5,436,853		Shimohara	07/25/1995
		* 5,450,301		Waltz, et al.	09/12/1995
		* 5,475,300		Havel	12/12/1995
		* 5,493,183		Kimball	02/20/1996
		* 5,519,496		Borgert, et al.	05/21/1996
		* 5,559,681		Duarte	09/24/1996
		* 5,614,788		Mullins, et al.	03/25/1997
		* 5,634,711		Kennedy, et al.	06/03/1997
		* 5,656,935		Havel	08/12/1997
		* 5,712,650		Barlow	01/27/1998
		* 5,836,676		Ando, et al.	11/17/1998
		* 5,924,784		Chliwnyj, et al.	07/20/1999
		* 5,927,845		Gustafson, et al.	07/27/1999
		* 5,980,064		Metroyanis	11/09/1999
		* 6,069,597		Hansen	05/30/2000
		* 6,181,126	B1	Havel	01/30/2001
		* 6,273,338	B1	White	08/14/2001
		* 6,310,590	B1	Havel	10/30/2001
		* 6,323,832	B1	Nishizawa, et al.	11/14/2001

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FORM PTO-1449/A and B (Modified)				APPLICATION NO.: 09/805,368		ATTY. DOCKET NO.: C01104/70015	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				FILING DATE: March 13, 2001			
				APPLICANT: Kevin J. Dowling, et al.			
				GROUP ART UNIT: 2821		EXAMINER: Vu, David Hung	
Sheet	2	of	2				

FOREIGN PATENT DOCUMENTS

Examiner's Initials#	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
			* FR 2 640 791			06/22/1990	
			* JP 03045166			02/26/1991	
			* WO 02/061328	A1		08/08/2002	

OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)

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EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

* a copy of this reference is not provided as it was previously cited by or submitted to the office in prior applications:

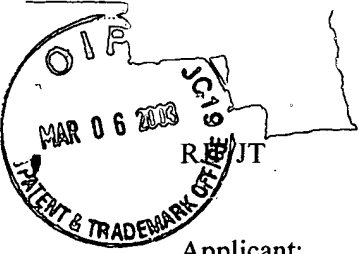
Serial No. 09/669,121, filed September 25, 2000;
Serial No. 09/425,770, filed October 22, 1999;
Serial No. 08/920,156, filed August 26, 1997;
Serial No. 09/213,540, filed December 17, 1998;
Serial No. 09/213,581, filed December 17, 1998;
Serial No. 09/213,548, filed December 17, 1998;
Serial No. 09/815,418, filed March 22, 2001;
Serial No. 09/213,607, filed December 17, 1998;

Serial No. 09/215,624, filed December 17, 1998;
Serial No. 09/333,739, filed June 15, 1999;
Serial No. 09/742,017, filed December 20, 2000;
Serial No. 09/213,659, filed December 17, 1998;
Serial No. 09/213,189, filed December 17, 1998;
Serial No. 09/626,905, filed July 27, 2000;
Serial No. 09/213,537, filed December 17, 1998;

which are relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

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Jamie Michalski
Jamie Michalski

Commissioner for Patents
Washington, D.C. 20231

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TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- [X] STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98 AND PTO FORM 1449
- [X] RETURN POST CARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

No check is enclosed. If a fee is needed, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Kevin J. Dowling, et al., Applicants

By: Joseph Teja, Jr.

Joseph Teja, Jr., Reg. No. 45,157
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, Massachusetts 02210-2211
Telephone: (617) 720-3500

Docket No. C01104/70015
Date: February 27, 2003
X (NDD)